



U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

GP-2812
#8
BT
12-13-01

**INFORMATION DISCLOSURE
STATEMENT**

Docket Number
12170/6

Application Number
09/809,025

Filing Date
March 16, 2001

Examiner
To be assigned

Art. Unit
2812

Invention Title
**DIGITAL OPTIONS HAVING DEMAND-
BASED, ADJUSTABLE RETURNS, AND
TRADING EXCHANGE THEREFOR**

Inventor(s)
Jeffrey LANGE

Address to:
Assistant Commissioner for Patents
Washington, D.C.

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Date: 28 Nov 2001 Reg. No. 36,098

Signature: [Signature]
Michelle M. Carniaux

1. In accordance with the duty of disclosure under 37 C.F.R. § 1.56 and in conformance with the procedures of 37 C.F.R. §§ 1.97 and 1.98 and M.P.E.P. § 609, attorneys for Applicants hereby bring the following references to the attention of the Examiner. The references are listed on the attached modified PTO Form No. 1449. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.
2. A copy of each patent, publication or other information listed on the modified PTO form 1449 is not enclosed (unless otherwise noted) since they were previously cited by or submitted to the Patent Office in prior application Serial No. 09/448,822, filed November 24, 1999, which is relied upon for an earlier filing date under 35 U.S.C. 120.
3. It is believed that no fees are due in connection with this Information Disclosure Statement. However, should any fees be due, the Commissioner is authorized to charge Deposit Account No. 11-0600 for such fees. A duplicate copy of this communication is enclosed for charging purposes.

Dated: 28 Nov 2001

By: [Signature]
Michelle M. Carniaux (Reg. No. 36,098)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT PTO-1449	DOCKET NO. 12170/6	SERIAL NO. 09/809,025
	APPLICANT Jeffrey LANGE	
	FILING DATE March 16, 2001	GROUP 2812

U. S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	PATENT DATE	NAME	CLASS	SUBCLASS	FILING DATE*
	4,903,201	February 20, 1990	Wagner			
	5,749,785	May 12, 1998	Rossides			
	5,794,207	August 11, 1998	Walker et al.			
	5,806,048	September 8, 1998	Kiron et al.			
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	5,970,479	October 19, 1999	Shepherd			
	6,085,175	July 4, 2000	Gugel et al.			

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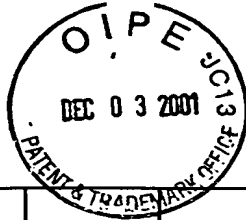
* - Copy of reference enclosed.

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	01-019496	January 1989	JP				X

OTHER DOCUMENTS

EXAMINER INITIAL	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
	M. Pagano, et al., "Transparency and Liquidity: A Comparison of Auction and Dealer Markets with Informed Trading", <u>Journal of Finance</u> , 51, pp. 579-611, 1996.
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* - Copy of reference enclosed.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	